

PTO/SB/01 (03-01)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)	Attorney Docket Number	6538/53642
	First Named Inventor	Hibbert
	COMPLETE IF KNOWN	
	Application Number	
	Filing Date	February 22, 2002
	Group Art Unit	
<input checked="" type="checkbox"/> Declaration Submitted with Initial Filing OR <input type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)	Examiner Name	

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Transaction Management System

(Title of the invention)

the specification of which

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY)

as United States Application Number or PCT International

Application Number and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
			<input type="checkbox"/>	YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

(Page 1 of 2)

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PTO/SB/01 (03-01)

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DECLARATION – Utility or Design Patent Application

Direct all correspondence to: <input checked="" type="checkbox"/> Customer Number or Bar Code Label				30505		OR <input type="checkbox"/> Correspondence address below	
Name Mark James Spolyar							
Address 175 Peralta Ave							
City San Francisco				State CA		ZIP 94110	
Country USA				Telephone 415-826-7966		Fax 415-480-1780	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such statements may jeopardize the validity of the application or any patent issued thereon.							
NAME OF SOLE OR FIRST INVENTOR:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any]) Errington Winfield				Family Name or Surname Hibbert			
Inventor's Signature <i>E. Winfield Hibbert</i>						Date 2/22/2002	
Residence: City Scotch Plains		State NJ		Country USA		Citizenship United States	
Mailing Address 21 Fields Lane							
City Scotch Plains		State NJ		ZIP 07076		Country USA	
NAME OF SECOND INVENTOR:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any]) Amy				Family Name or Surname Huntington			
Inventor's Signature <i>Amy Huntington</i>						Date 2/22/02	
Residence: City New York		State NY		Country USA		Citizenship United States	
Mailing Address 167 East 67th Street #4E							
City New York		State NY		ZIP 10021		Country USA	
<input type="checkbox"/> Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.							

PATENT APPLICATION
Attorney Docket 6538/53642

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Hibbert et al.

Serial No.: TBD

Filed: February 22, 2002

For: Transaction Management System

POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE INTEREST

Commissioner for Patents
BOX PATENT APPLICATION
Washington, D.C. 20231

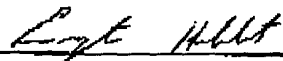
Sir:

Lehman Brothers Holdings Inc., a Delaware corporation, at 101 Hudson Street, 33rd Floor, Jersey City, NJ 07302, assignee of all right, title and interest to the application identified above, through its Senior Vice President, Errington Hibbert, hereby appoints as its principal attorney, Mark James Spolyar, Reg. No. 42164, with full power of revocation and substitution, to prosecute this application and to transact all business in the United States Patent and Trademark Office connected herewith.

All correspondence and telephone calls relating to this application should be directed to:

Customer Number: 30505
Law Office of Mark J. Spolyar
175 Peralta Ave
San Francisco, CA 94110
415-826-7966
415-480-1780 fax.

Respectfully submitted,
LEHMAN BROTHERS HOLDINGS INC.

By: 
Errington Hibbert
Its: Senior Vice President

Date: 2/22/2002

PTO/SB/96 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Hibbert et al.Application No./Patent No.: _____ Filed/Issued Date: February 22, 2002Entitled: Transaction Management SystemLehman Brothers Holdings Inc.

(Name of Assignee)

a Delaware Corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel/Frame __, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
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[] Additional documents in the chain of title are listed on a supplemental sheet.

- [] Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

2/22/2002

Date

Errington Winfield Hibbert

Typed or printed name

Errington Winfield Hibbert

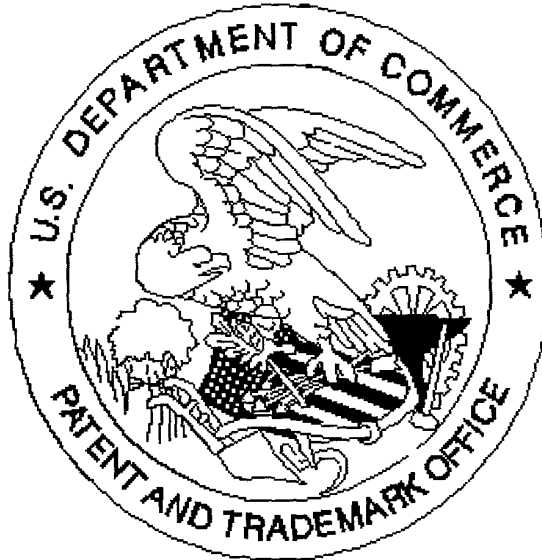
Signature

Senior Vice President

Title

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☒ *Scanned copy is best available. drawing figures are dark*